



P 'O/SB/084(08-03)

Approved for use through 07/31/2006 OMB 0851-0051

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Substitute for form 14488/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	2	of	2
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**Complete if Known**

<b>Application Number</b>	<b>10/887,570</b>
<b>Filing Date</b>	<b>October 15, 2003</b>
<b>First Named Inventor</b>	<b>Mark Frei</b>
<b>Art Unit</b>	<b>3736</b>
<b>Examiner Name</b>	<b>Unassigned</b>
<b>Attorney Docket Number</b>	<b>011738.00138</b>

### NON PATENT LITERATURE DOCUMENTS

[illegible]

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**Examiner  
Signature**

Date Considered

6/1/2006

\*EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\* Applicant's unique classification designation number (optional). \* Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes on the average to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending on individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. (DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.)

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# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
Invention

Phase Shifting of Neurological Signals an a Medical Device  
System

Application Number: 10/687570



Confirmation Number: 7127

First Named Applicant: Mark Frei

Attorney Docket Number: 011738.00138

Art Unit: 3736

Examiner: Unassigned Unassigned

Search string: ( 6385479 or 6449509 or 6094593 or  
20020038294 ).pn.

Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	6385479	2002-05-07	Sibbitt			
<input checked="" type="checkbox"/>	2	6449509	2002-09-10	Park			
<input checked="" type="checkbox"/>	3	6094593	2000-07-25	Karagueuzian			

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	20020038294	2002-03-28	Matsugu			

APP\_ID=10687570

page 1 of 2

Charles Harman II

6/1/06





PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 011738.00138)

In re U.S. Patent Application of Frei, et al.	)	
	)	
Application No. 10/687,570	)	Group Art Unit: 3736
	)	
Filed: October 15, 2003	)	Examiner: Unassigned
	)	
For: Phase Shifting of Neurological Signals	)	Confirmation No. 7127
In a Medical Device System	)	
	)	

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR §§1.97 and 1.98, the Applicant filed Information Disclosure Statements on April 26, 2004 and June 10, 2004 for the above-identified application.

This Supplemental Information Disclosure Statement is being submitted to advise the Commissioner of the following related co-pending patent applications:

10/687,133	10/687,344	10/687,567
10/687,135	10/687,348	10/687,571
10/687,289	10/687,389	10/688,214
10/687,290	10/687,557	
10/687,306	10/687,566	

*Subramaniam*

6/1/2004



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 011738.00138)

In the Application of: )  
Mark Frei, et al. ) Confirmation No. 7127  
Serial No. 10/687,570 ) Group Art Unit: 3736  
Filed: October 15, 2003 ) Examiner: Not assigned  
For: PHASE SHIFTING OF NEUROLOGICAL SIGNALS )  
IN A MEDICAL DEVICE SYSTEM )

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. 1.97 and 1.98, the Applicant wishes to make the following references of record in the above-identified application. This Supplemental Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. § 1.56. Copies of the U.S. patent references cited below are not enclosed. The references are also listed on the enclosed and completed Form PTO/SB/08A.

REFERENCES

U.S. Patent Documents

<u>Patent No.</u>	<u>Inventor</u>	<u>Date Granted</u>
6,366,814	Boveja, et al.	04/02/2002
6,587,727	Osorio, et al.	07/01/2003
6,597,954	Pless, et al.	07/22/2003
6,609,030	Rezai, et al.	08/19/2003

*Patent Examiner*  
6/11/2006



PTO/SB/08a (08-03)

Approved for use through 07/31/2008, OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO			<b>Complete if Known</b>	
			Application Number	10/687,570
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>			Filing Date	October 15, 2003
			First Named Inventor	Mark G. Frei
			Art Unit	3736
			Examiner Name	TBD
(Use as many sheets as necessary)			Attorney Docket Number	011738.00138
Sheet	1	of	4	

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Issue/Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
VPS		US- 3522811	08/04/1970	Schwartz et al.	
		US- 3850161	11/26/1974	Saul Liss	
		US- 3863625	02/04/1975	Viglione et al.	
		US- 3867816	07/06/1976	Sidney A. Ross	
		US- 3993046	11/23/1976	Fernandez et al.	
		US- 4019518	04/26/1977	Maurer et al.	
		US- 4038536	07/26/1977	Paul L. Feintuch	
		US- 4295474	10/20/1981	Robert E. Fischell	
		US- 4373527	2/15/1983	Robert E. Fischell	
		US- 4417592	11/29/1983	John E. Roy	
		US- 4566464	01/28/1986	Piconne et al.	
		US- 4581758	04/08/1986	Coker et al.	
		US- 4610259	09/09/1986	Cohen et al.	
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		US- 5335857	08/09/1994	Terry Jr. et al.	
		US- 6473639	10/24/2002	Fischell et al.	
		US- 6480743	11/12/2002	Kirkpatrick et al.	
		US- 6560486	05/06/2003	Osorio et al.	
		US- 6591138	07/08/2003	Fischell et al.	
		US- 6597954	07/22/03	Pless et al.	
		US- 6647296	11/11/2003	Fischell et al.	
		US- 2002/0013614	01/31/2002	David L. Thompson	

Examiner Signature		Date Considered	6/1/2006
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\*EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 2 of 4

**Complete If Known**

Application Number	10/687,570
Filing Date	October 15, 2003
First Named Inventor	Mark G. Frei
Art Unit	3736
Examiner Name	TBD
Attorney Docket Number	011738.00138

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
VPS		US- 5487754	01/30/1996	Snell et al.	
		US- 5626145	05/06/1997	Clapp et al.	
		US- 5683422	11/04/1997	Mark T. Rise	
		US- 5713922	02/03/1998	Gary William King	
		US- 5713923	02/03/1998	Ward et al.	
		US- 5716377	02/10/1998	Rise et al.	
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		US- 5743860	04/28/1998	Hively et al.	
		US- 5752976	05/19/1998	Duffin et al.	
		US- 5792186	08/11/1998	Mark T. Rise	
		US- 5978702	11/02/1999	Ward et al.	
		US- 5995868	11/30/1999	Dorfmeister et al.	
		US- 6016449	01/18/2000	Fischell et al.	
		US- 6018682	01/25/2000	Mark T. Rise	
		US- 6066163	05/23/2000	Michael Sasha John	
		US- 6083248	07/04/2000	David L. Thompson	
		US- 6094598	7/25/2000	Elsberry et al.	
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		US- 6466822	10/15/2002	Benjamin D. Pless	
VPS		US- 6473639	10/24/2002	Fischell et al.	

Examiner  
SignatureDate  
Considered

6/1/2006

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	10/687,570
		Filing Date	October 15, 2003
		First Named Inventor	Mark G. Frei
		Art Unit	3736
		Examiner Name	TBD
(Use as many sheets as necessary)		Attorney Docket Number	011738.00138
Sheet	3	of	4

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
VPS		Alan V. Oppenheim & Ronald W. Schaffer, Digital Signal Processing, Prentice-Hall, Inc., Englewood Cliffs, New Jersey, 1975, pg. 18-24.	
VPS		Gotman J., & Gloor, P., "Automatic Recognition and Quantification of Linterictal Epileptic Activity in the Human Scalp EEG", Electroencephalography and Clinical Neurophysiology, 1976, 41:513-529.	
VPS		B. Litt and J. Echauz, "Prediction of Epileptic Seizures", 1 The Lancet Neurology 22 May 2002	
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VPS		Lapkin et al., "The Electroencephalogram in Childhood Basilar Artery Migraine", 27Neurology 580-583, June 1977)	
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VPS		P. Rajna and C. Lona, "Sensory Stimulation for Inhibition of Epileptic Seizures", 30(2) Epilepsia 168-174, 1989	
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VPS		Webber, W.R.S. et al., "Automatic EEG Spike Detection: What Should the Computer Imitate", 87 Electroencephalography and Clinical Neurophysiology 330-333 (1993)	
VPS		Grassberger, Peter et al., "Characterization of Strange Attractors" Vol. 50, No.5., The American Physical Society, January 31, 1983.	

Examiner Signature		Date Considered	6/1/2006
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

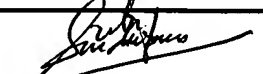
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Mail Stop Amendment, P.O. Box 1450, Alexandria, VA 22313-1450.

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		Filing Date	October 15, 2003
		First Named Inventor	Mark G. Frei
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Sheet	4	of	4

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VPS		Iasemidis, L. D. and Sackellares, J. C. "Chaos Theory and Epilepsy". The Neuroscientist, 2:118--126, 1996. <retrieved from <a href="http://citeseer.ist.psu.edu/iasemidis96chaos.html">http://citeseer.ist.psu.edu/iasemidis96chaos.html</a> >	
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VPS		Gotman, J., "Seizure Recognition and Analysis", Montreal Neurological Institute and Department of Neurology and Neurosurgery, McGill University, Montreal, Quebec. H3A 2B4 (Canada)	
VPS		Vachtsevanos, G.J., et al. "Neuro-Fuzzy Approaches to Decision Making: A Comparative Study With An Application to Check Authorization" Journal of Intelligent and Fuzzy Systems, Vol. 6, pgs. 259-278 (1998)	
VPS		Osorio, Ivan, et al., "Real-Time Automated Detection and Quantitative Analysis of Seizures and Short-Term Prediction of Clinical Onset" Epilepsia, Vol. 39(6) pgs. 615-627, (1998)	

Examiner Signature		Date Considered	6/1/2006
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